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PTO/SB/08A (10-96)  
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Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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Substitute for form 1449A/PTO (Modified by BSTZ 6/30/99)		Complete if Known			
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> <small>(use as many sheets as necessary)</small>		Application Number	09/777,306		
		Filing Date	February 5, 2001		
		First Named Inventor	Hess et al.		
		Group Art Unit	2754		
		Examiner Name	Not Yet Assigned		
Sheet	1	of	7	Attorney Docket Number	003801.P001C3

U.S. PATENT DOCUMENTS					
Examiner Initials *	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	
	Number				
✓✓	3,581,072	Nymayer	O I P E JCA 2	5/25/1971	3/28/1968
✓✓	3,573,747	Adams, et al.	O I P E JCA 2	4/6/1971	2/24/1969
✓✓	4,412,287	Braddock, III	O I P E JCA 2	10/25/1983	9/15/1982
✓✓	4,674,044	Kalmus, et al.	O I P E JCA 2	4/16/1997	1/30/1985
✓✓	4,677,552	Sibley, Jr.	O I P E JCA 2	6/30/1987	10/5/1984
✓✓	4,789,928	Fujisaki	O I P E JCA 2	12/6/1988	1/30/1987
✓✓	4,799,156	Shavit, et al.	RECEIVED AUG 20 2001 Technology Center 2600	1/17/1989	10/1/1986
✓✓	4,823,265	Nelson	RECEIVED AUG 20 2001 Technology Center 2600	4/18/1989	5/11/1987
✓✓	4,903,201	Wagner	RECEIVED AUG 20 2001 Technology Center 2600	2/20/1990	11/3/1983
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	Office or Country	Number	Date			
✓✓	PCT	✓✓ WO 92/15174	2/25/1992	Beaumont-Maxin International	9/3/1992	
✓✓	PCT	✓✓ WO 96/34356	4/26/1996	Fleanet, Inc.	10/31/1996	
✓✓	PCT	✓✓ WO 97/37315	3/19/1997	Onsale, Inc.	10/9/1997	

#### OTHER DOCUMENTS

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✓✓	✓✓ MALONE, TW; YATES, J; et al., "Electronic Markets and Electronic Hierarchies", <u>Communications - of the ACM</u> , June 1987, Pages 484-497, Vol. 30, No. 6, USA	
✓✓	✓✓ WARBELOW, A; KOKURYO, J, "Aucnet: TV Auction Network System". <u>Harvard Business School Case/Study</u> , July 1989, Pages 1-15, HBVR# 9-190-001, USA	
✓✓	✓✓ "Personal Optimized Decision/Transaction Program", <u>IBM Technocal Disclosure Bulletin</u> , January 1995, Pages 83-84, Vol. 38, No. 1, USA	
✓✓	✓✓ NEO, BS, "The implementation of an electronic market for pig trading in Singapore", <u>Journal of Strategic Information Systems</u> , December 1992, pages 278-288, Vol 1, No. 5	

Examiner Signature	✓✓ ✓✓	Date Considered	1-2-04
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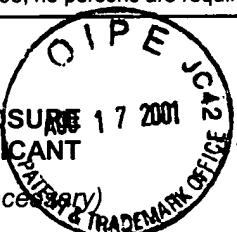
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## INFORMATION DISCLOSURE STATEMENT BY APPLICANT

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Sheet 2 of 7

Complete if Known

09/777,306

Application Number

Filing Date

February 5, 2001

First Named Inventor

Hess et al.

Group Art Unit

2754

Examiner Name

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Attorney Docket Number

003801.PODIC3

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	5,243,515	Lee		9/7/1993	10/30/1990
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W.	5,394,324	Clearwater		2/28/1995	12/8/1993

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	Office or Country	Number	Date			
W.	Netherland	9300266	2.10.1993			
W.	France	2658635-A1	2.6.1991			
W.	Canada	2,253,543	3/19/1997			Yes

## OTHER DOCUMENTS

Examiner Initials *	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published (if known).	Translation? Yes/No
W.	ROCKOFF, TE; GROVES, M., "Design of an Internet-based system for remote Dutch auctions", <u>Internet Research - Electronic Networking Applications and Policy</u> , January 1, 1995, Vol. 5, No. 4, Pages 10-16	
W.	MASSIMB, MN; PHELPS, BD, "Electronic Trading, Market Structure and Liquidity", <u>Financial Analysts Journal</u> , January - February 1994, Vol 50, No. 1, Pages 39-50, Charlottesville, Virginia	
W.	POST, DL; COPPINGER, SS, et al., "Application of Auctions as a Pricing Mechanism for the Interchange of Electric Power", <u>IEEE Transactions on Power Systems</u> , August 1995, Pages 7, Vol. 10, No. 3	
W.	HESS, CM; KEMERER, CF., "Computerized Loan Organization System: An Industry Case Study of the Electronic Markets Hypothesis", <u>MIS Quarterly</u> , September 1994, Vol. 18, No 3, Pages 251-274	

Examiner Signature

W W

Date Considered

1-2-04

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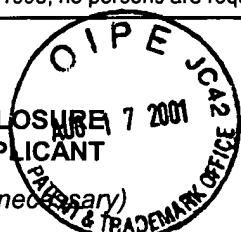
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Hess et al

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of

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U.S. PATENT DOCUMENTS

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	Number	U.S. Patent Document			
WV.	5,426,281	Abecassis	O I P E JCA 2	6/20/1995	10/29/1993
	5,553,145	Micali	O I P E JCA 2	9/3/1996	8/4/1995
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OTHER DOCUMENTS

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WV.	RECK, Martin, "Formally Specifying and Automated Trade Execution System", <u>Journal of Systems and Software</u> , 1993, Pages 245-252, Vol. 21, Elsevier Science Publishing Co., Inc. New York, Ny.	
WV.	Anonymous Delivery of Goods in Electronic Commerce", <u>IBM Technocal Disclosure Bulletin</u> , March 1996, Pages 363-366, Vol. 39, No. 3	
WV.	LEE, G., "Electronic Brokerage and Electronic Auction: The Impact of IT on Market Structures", <u>Proceedings of the 29th HICSS</u> , 1996, Pages 397-406, Vol. IV	
WV.	CLEMINS, E; WEBER, B., "Evaluating the Prospects for Alternative Electronic Securities Markets", <u>International Conference on Information Systems</u> , 1991, Pages 53-61, Vol 12	

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V. W

Date Considered

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<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> <i>(use as many sheets as necessary)</i>		Application Number	09/777,306
		Filing Date	February 5, 2001
		First Named Inventor	Hess et al.
		Group Art Unit	2754
		Examiner Name	Not Yet Assigned
Sheet	4	of	7
		Attorney Docket Number	003801.P001C3

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VR.	MARDESICH, J., "Onsale Takes Auction gavel electronic", <u>Computer Reseller News</u> , July 8, 1996, Page 2 continued on Page 32, Mountain View, California.	
VR.	"Onsale joins fray as online shopping picks up speed: Internet Booms", <u>Computer Reseller News</u> , June 5, 1995, Page 73, CMP Publications, Inc., USA.	
VR.	SIEGMANN, KEN, "Nowhere to go but up", <u>PC Week</u> , October 23, 1995, Page 1-3, Vol. 12, No. 42, Ziff-Davis Publishing Company	
VR.	Onsale: Onsale Brings Thrill of Auctions and Bargain Hunting Online; Unique Internet retail service debuts with week-long charity auction for the Computer Museum in Boston", May 24, 1995, Pages 3	

Examiner Signature	V. Vu	Date Considered	1-2-04
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VV.	VAN HECK, E; RIBBERS, PM., "Experiences with Electronic Auctions in the Dutch Flower Industry", <u>Focus Theme</u> , No Date Given, Pages 1-6	
VV.	LEE, HG., "Aucnet: Electronic Intermediary for Used-car Transactions", <u>Focus Theme</u> , No Date Given, Pages 1-5	
VV.	KLEIN, S., "Introduction to Electronic Auctions", <u>Focus Theme</u> , No Date Given, Pages 1-4	
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VV.	<input checked="" type="checkbox"/> ZWASS, VLADIMIR., "Electronic Commerce: Structures and Issues", <u>International Journal of Electricnic Commerce</u> , Fall 1996, Pages 3-23, Vol, 1, No. 1	Yes/No

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W	5,884,056		Steele	3/16/99	12/28/95

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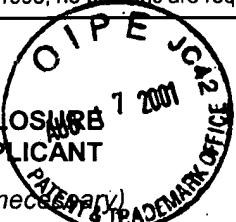
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✓v.	5,884,056	Steele		3/16/99	12/28/95
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↓	5,872,848	Romney et al.		2/26/99	2/18/97

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VV.	PCT	✓ WO 99/63461	5/20/99	Dinwoodie	12/9/99	
VV.	PCT	✓ US99/18510	10/23/98		8/12/99	
VV.	PCT	✓ US00/32088	4/4/2001		11/20/2000	

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W.	CHRIS PREIST, MARTEN VAN TOL, "International Conference on Information and Computation Economies", <u>Adaptive Agents in a Persistent Shout Double Auction</u> , (c) 1999, Pages 2.	

Examiner Signature	V. Vn	Date Considered	1-8-04
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#9

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Form PTO-1449 (Modified)

Atty. Docket No.:	Application No.:
3801P001C3	09/777,306
Applicant:	
Hess et al.	

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US Patent Documents

Technology Center 2600

Examiner's Initials	Date	Document Number	Name	Class	Sub-Class	Filing Date
W.	09/07/99	5,948,061	Merriman			
W.	10/03/00	6,128,649	Smith et al.			
W.	05/16/00	6,065,041	Lum et al.			
W.	07/31/01	6,269,238 B1	Iggulden			
W.	05/30/00	6,070,125	Murphy et al.			
W.	11/16/99	5,986,662	Argiro et al.			

Foreign Patent Documents

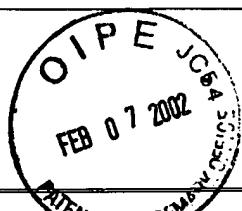
Examiner's Initials	Date	Document Number	Country	Class	Translation

Other Documents (Including Author, Title, Date, Pertinent Pages, etc.)

W.	International Search Report, PCT/US01/18225, mailed 09/05/01

Examiner	W. J/w	Date Considered	1-2-04
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First Named Inventor:

Hess, et al.

Filing Date:

February 5, 2001

U.S. PATENT DOCUMENTS

Exam. Initial*	Cite No. <sup>1</sup>	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code <sup>2</sup>			
W.		4,864,516		Gaither et al. FEB 08 2002	09-05-1989	
		5,205,200		Wright	04-27-1993	
		5,485,510		Colbert Technology Center 2100	01-16-1996	
		5,557,728		Garrett et al.	09-17-1996	
		5,596,994		Bro	01-28-1997	
		5,598,557		Doner et al.	01-28-1997	
		5,657,389		Houvener	08-12-1997	
		5,694,546		Reisman	12-02-1997	
		5,706,457		Dwyer et al.	01-06-1998	
		5,715,314		Payne et al.	02-03-1998	
		5,722,418		Bro	03-03-1998	
		5,771,291		Newton et al.	06-23-1998	
W.		5,771,380		Tanaka et al.	06-23-1998	

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Exam. Initial*	Cite No. <sup>1</sup>	Foreign Patent Document			Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Office <sup>3</sup>	Number <sup>4</sup>	Kind Code <sup>5</sup>				
W.		WIPO	WO 95/17711	A1	Diacom Technologies, Inc.	06-29-1995		
W.		WIPO	WO 99/63461	A1	Dinwoodie, David	12-09-1999		
W.		WIPO	PCT/US 00/17136	Int'l. Search Report	eBay, Inc.	11-16-2000		
W.		WIPO	PCT/US 01/12398	Int'l. Search Report	eBay, Inc.	08-27-2001		

Examiner Signature	V. Vn	Date Considered	1-2-04
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<sup>1</sup>Unique citation designation number. <sup>2</sup>See attached Kinds of U.S. Patent Documents. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard S.3). <sup>4</sup>For Japanese patent documents, the indication of the year of reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup>Applicant is to place a check mark here if English language Translation is attached.

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First Named Inventor: Hess, et al.

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		Number	Kind Code <sup>2</sup> (If known)			
✓J.		5,799,285		Klingman	RECEIVED	08-25-1998
		5,803,500		Mossberg		09-08-1998
		5,845,265		Woolston	FEB 08 2002	12-01-1998
		5,872,848		Romney et al.	Technology Center 2100	02-16-1999
		5,873,069		Reuhl et al.		02-16-1999
		5,884,056		Steele		03-16-1999
		5,890,138		Godin et al.		03-30-1999
		5,905,974		Fraser et al.		05-18-1999
		5,905,975		Ausubel		05-18-1999
		5,922,074		Richard et al.		07-13-1999
		5,924,072		Havens		07-13-1999
		5,926,794		Fethe		07-20-1999
		5,974,412		Hazlehurst et al.		10-26-1999
		5,991,739		Cupps et al.		11-23-1999
		6,035,288		Solomon		03-07-2000
		6,035,402		Vaeth et al.		03-07-2000
		6,044,363		Mori et al.		03-28-2000
		6,055,518		Franklin et al.		04-25-2000
		6,058,417		Hess et al.		05-02-2000
✓		6,073,117		Oyanagi et al.		06-06-2000

**OTHER ART - NO PATENT LITERATURE DOCUMENTS**

Examiner Initials*	Cite No <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	Translation <sup>2</sup>
Examiner Signature	✓. ✓w	Date Considered	1-2-04

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Substitute for Form 1449A/PTO (Modified) (use as many sheets as necessary) Page 3 of 3		Attorney Docket No.: 3801P001C3	Application Number: 09/777,306
		First Named Inventor: Hess, et al.	
		Filing Date: February 5, 2001	

### U.S. PATENT DOCUMENTS

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		Number Code <sup>2</sup>	Kind (If known)			
W.		6,104,815		Alcorn et al Technology Center 2100	FEB 08 2002 08-15-2000	

### OTHER ART - NO PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	Translation <sup>2</sup>		
W.		BUSINESS EDITORS, "Mediappraise: Mediappraise Receives National Award for Web-Based Technology That Enables Companies to Solve Thorny HR Problems," 12/14/98, 2 pgs., <a href="http://www.businesswire.com">www.businesswire.com</a> .			
W.		MEADE, J., "Visual 360: A Performance Appraisal System That's 'Fun' (Evaluation)," HRMagazine, 44, 7, 2 pgs., July 1999, Society for Human Resource Management.			
W.		PREIST, C., et al., "Adaptive Agents in a Persistent Shout Double Auction," Proceedings, 1 <sup>st</sup> International Conf. on Information and Computation Economies, October 25-28, 1998, pgs. 11-18, Charleston, N.C.			
W.		RESNICK, P., et al., "Reputation Systems," December 2000, Assoc. for Computing Machinery, Communications of the ACM, vol. 43, n. 12, 4 pgs.			
W.		DIALOG WEB, "ON SALE: ON SALE brings Thrill of Auctions and Bargain Hunting Online. Byline: Business Editors/Computer Writers, May 24, 1995. <a href="http://www.dialogweb.com/cgi/dwclient?dwcommand=DWEBPRINT%20810-489267">http://www.dialogweb.com/cgi/dwclient?dwcommand=DWEBPRINT%20810-489267</a> .			
Examiner Signature	✓. W		Date Considered	1-2-04	

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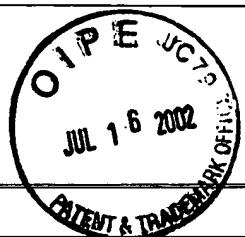
<sup>1</sup>Unique citation designation number. <sup>2</sup>Applicant is to place a check mark here if English language Translation is attached.

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Substitute for Form 1449A/PTO (Modif.)  
(use as many sheets as necessary) Page 1 of 3

Attorney Docket No.: 3801P001C3

Application Number:  
09/777,306



First Named Inventor:

Hess et al.

Filing Date:

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		Number	Kind Code <sup>2</sup> (If known)			
vv.		5,790,790		Smith et al.	08/04/1998	
vv.		5,845,265		Woolston	12/01/1998	
vv.		6,047,264		Fisher et al.	04/04/2000	
vv.		6,061,448		Smith et al.	05/09/2000	
vv.		6,085,176		Woolston	07/04/2000	
vv.		6,119,137		Smith et al.	09/12/2000	
vv.		US 6,178,408	B1	Copple et al.	01/23/2001	
vv.		US 6,192,407	B1	Smith et al.	02/20/2001	
vv.		US 6,202,051	B1	Woolston	03/13/2001	
vv.		US 6,243,691	B1	Fisher et al.	06/05/2001	

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		Office <sup>3</sup>	Number <sup>4</sup>	Kind Code <sup>5</sup> (If known)				

Examiner Signature

U. *vw*

Date Considered

1-2-04

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# 2

09/777,306

<p><b>US Department of Commerce</b> <b>Patent and Trademark Office</b></p> <p><b>Form PTO-1449 (Modified)</b></p>	<p><b>Atty. Docket No.:</b> 003801.P001C3</p> <p><b>Application No.:</b> Not yet assigned</p>	<p><b>Applicant:</b> Hess et al.</p>	<p><b>Filing Date:</b> Concurrently herewith</p>
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## US Patent Documents

Examiner's Initials	Date	Document Number	Name	Class	Sub-Class	Filing Date
V.V.	08/11/98	5,794,216	Brown	705	27	7/14/95
W.W.	04/07/98	5,737,599	Rowe et al.	395	615	12/7/95
V.V.	03/16/99	5,884,056	Steele	395	339	12/28/95
V.V.	06/23/98	5,771,380	Tanaka et al.	395	615	10/7/96
V.V.	01/06/98	5,706,457	Dwyer et al.	395	349	6/7/95
W.W.	01/28/97	5,598,557	Doner et al.	395	605	9/22/92
V.V.	09/17/96	5,557,728	Garrett et al.	395	157	11/22/94

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Examiner's Initials	Date	Document Number	Country	Class	Translation
vv.	08/13/98	WO 98/35468	Patent Cooperation Treaty	H04L	
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### **Other Documents (Including Author, Title, Date, Pertinent Pages, etc.)**

W.	Yahoo Auctions Website, downloaded 10/23/98 from <a href="http://auctions.yahoo.com">http://auctions.yahoo.com</a>
W.	Onsale Auction Website, downloaded 10/23/98 from <a href="http://www.onsale.com">http://www.onsale.com</a>
W.	Netgrocer Website, downloaded 10/23/98 from Website <a href="http://www.netgrocer.com">http://www.netgrocer.com</a>
W.	Auction Universe Website, downloaded 10/23/98 from <a href="http://www.auctionuniverse.com">http://www.auctionuniverse.com</a>
W.	European Patent Office Search Report, RS 102472 US, 4 pages.
W.	Hong et al, "Multilingual Information Retrieval System", Multimedia Storage and Archivings Systems, Nov. 18-19, 1996.
W.	Liepins et al, "A Browser Based Image Bank, Useful Tool or Expensive Toy", MEDNET97, November, 1997.
W.	Mohan, "Text-Based Search of TV News Stories", Multimedia Storage and Archiving Systems, Nov. 18-19, 1996.

<i>Examiner</i> V. Vn	<i>Date Considered</i> 1-2-84
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09/777,306

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VV.	12/02/97	5,694,546	Reisman	395	200	5/31/94
VV.	09/05/89	4,864,516	Gaither et al.	364	518	3/10/86
VV.	06/02/98	5,760,917	Sheridan	358	442	9/16/96
VV.	08/11/98	5,794,219	Brown	705	37	2/20/96
VV.	08/18/98	5,796,395	deHond	345	331	3/11/97
VV.	11/10/98	5,835,896	Fisher et al	705	37	03/29/96
VV.	03/30/99	5,890,138	Godin et al.	705	26	08/26/96
VV.	12/26/00	6,167,382	Sparks et al.	705	26	06/01/98
VV.	07/07/98	5,778,367	Wesinger, Jr. et al.	707	10	12/14/95

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